

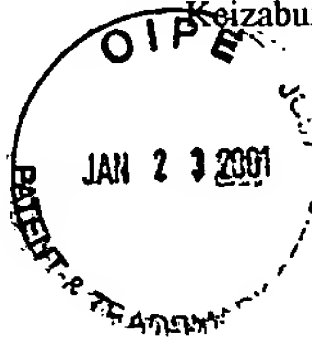


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/667,084 | 09/21/2000 | Keizaburo Sasaki | 3815/102 |

Matthew J Marquardt Esq
Brown Raysman Millstein Felder & Steiner LLP
120 West 45TH Street
New York, NY 10036



FORMALITIES LETTER



OC000000005563681

Date Mailed: 11/17/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$4256.
 - \$720 for 40 total claims over 20.
 - \$3276 for 42 independent claims over 3.
 - \$260 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 5076.

01/26/2001 CHGUYEN 00000077 024270 09667084

06 FC:104 10.00 CH 260.00 OP

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

01/26/2001 CHGUYEN 00000077 024270 09667084
01 FC:101 710.00 OP
02 FC:102 3360.00 OP
03 FC:103 720.00 OP
04 FC:105 130.00 OP



SECTOR #

Atty. Docket No.: 3815/102

43

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Keizaburo SASAKI et al.

Appln. No. : 09/667,084 Examiner : Not yet assigned

Filed : September 21, 2000 Group Art Unit: 2171

Title : DATA CONVERSION APPARATUS, SIGNAL, DATA
CONVERSION METHOD, DCE, GATEWAY AND
COMMUNICATION APPARATUS

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

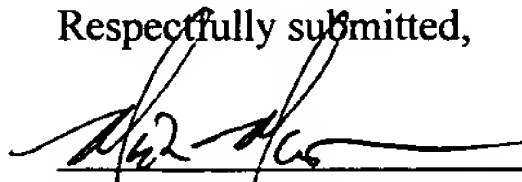
We have received a Notice to File Missing Parts of Application--Filing Date Granted mailed on November 17, 2000. We are returning herewith a copy of that Notice, together with the required Oath and Declaration and Assignment and Recordation forms.

We are also enclosing herewith a check in the amount of \$5,220.00 in payment for the basic filing fee, additional claim fees, a surcharge filing fee, and an assignment recording fee.

The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

Dated: January 17, 2001


Matthew J. Marquardt, (Reg. No.: 40,997)
BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP
120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

I hereby certify that this paper is being deposited this date with the
U.S. Postal Service as First Class Mail addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231


Matthew J. Marquardt

January 17, 2001
Date

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

13

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL
for FY 2001

JAN 23 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) \$5,220.00

Complete if Known

| | |
|----------------------|-------------------------|
| Application Number | 09/667,084 |
| Filing Date | September 21, 2000 |
| First Named Inventor | Keizaburo SASAKI et al. |
| Examiner Name | To be assigned |
| Group Art Unit | 2171 |
| Attorney Docket No. | 3815/102 |

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 02-4270

Deposit Account Name: Brown Raysman Millstein Felder & Steiner LLP

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------------------|
| 101 710 | 201 355 | Utility filing fee | \$710.00 |
| 106 320 | 206 160 | Design filing fee | |
| 107 490 | 207 245 | Plant filing fee | |
| 108 710 | 208 355 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |
| SUBTOTAL (1) | | | (\$ \$710.00) |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|--------------|
| 60 | -20** = 40 | x 18.00 | = \$720.00 |
| 45 | -3** = 42 | x 80.00 | = \$3,360.00 |
| Multiple Dependent | | 260.0 | = 260.00 |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|------------------------|
| 103 18 | 203 9 | Claims in excess of 20 | |
| 102 80 | 202 40 | Independent claims in excess of 3 | |
| 104 270 | 204 135 | Multiple dependent claim, if not paid | |
| 109 80 | 209 40 | ** Reissue independent claims over original patent | |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | (\$ \$4,340.00) |

**or number previously paid, if greater. For Reissues, see above

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------------------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 130.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for ex parte reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 390 | 216 195 | Extension for reply within second month | |
| 117 890 | 217 445 | Extension for reply within third month | |
| 118 1,390 | 218 695 | Extension for reply within fourth month | |
| 128 1,890 | 228 945 | Extension for reply within fifth month | |
| 119 310 | 219 155 | Notice of Appeal | |
| 120 310 | 220 155 | Filing a brief in support of an appeal | |
| 121 270 | 221 135 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,240 | 241 620 | Petition to revive - unintentional | |
| 142 1,240 | 242 620 | Utility issue fee (or reissue) | |
| 143 440 | 243 220 | Design issue fee | |
| 144 600 | 244 300 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Petitions related to provisional applications | |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 710 | 246 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 710 | 279 355 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | |
| SUBTOTAL (3) | | | (\$ \$170.00) |

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

| | | | | | |
|-------------------|----------------------|-----------------------------------|------------------|-----------|----------------|
| Name (Print/Type) | Matthew J. Marquardt | Registration No. (Attorney/Agent) | 40,997 | Telephone | (212) 944-1515 |
| Signature | | Date | January 17, 2001 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attorney Docket No.: 3815/102

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Keizaburo SASAKI et al.

Application No.: 09/667,084

Examiner: To be assigned

Filed: September 21, 2000

Group Art Unit: 2171

Title: DATA CONVERSION APPARATUS, SIGNAL, DATA CONVERSION METHOD, DCE, GATEWAY AND COMMUNICATION APPARATUS

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTION OF FILING RECEIPT

Please correct the filing receipt mailed November 17, 2000 to include the proper residence addresses for each of the named inventors. The Official Filing Receipt should include the following: --Keizaburo Sasaki, Kanagawa, Japan; Hiroyuki Hattori, Kanagawa, Japan; Noriko Niizato, Kanagawa, Japan--.

A copy of the filing receipt with the corrections in red is enclosed. Applicants respectfully request issuance of a corrected filing receipt.

Respectfully submitted,

Date: January 17, 2001

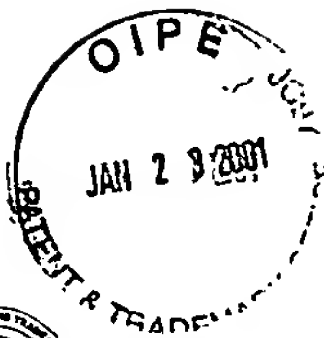
Matthew J. Marquardt, Reg. No. 40,997
BROWN RAYSMAN MILLSTEIN FELDER & STEINER LLP
120 West Forty-Fifth Street, New York, New York 10036
Tele: (212) 944-1515 Fax : (212) 840-2429

MJM:od
Encl.

I hereby certify that this paper is being deposited this date with the U.S. Postal Service with sufficient postage as First Class Mail addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231.

BRMFS1 234143v1

17 JAN 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/667,084 | 09/21/2000 | 2171 | 0 | 3815/102 | 24 | 56 | 45 |

FILING RECEIPT



OC000000005563680

Matthew J Marquardt Esq
Brown Raysman Millstein Felder & Steiner LLP
120 West 45TH Street
New York, NY 10036

Date Mailed: 11/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Keizaburo Sasaki, Residence, ~~XPX~~;
Hiroyuki Hattori, Residence, ~~XPX~~;
Noriko Niizato, Residence, ~~XPX~~;

Kanagawa, Japan
Kanagawa, Japan
Kanagawa, Japan

Continuing Data as Claimed by Applicant

Foreign Applications

JAPAN 11-266862 09/21/1999
JAPAN 2000-118620 04/19/2000

If Required, Foreign Filing License Granted 11/17/2000

Title

Data conversion apparatus, signal, data conversion method, DCE, gateway and communication apparatus

Preliminary Class

707

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231